

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

FILED  
IN CLERK'S OFFICE  
U.S. DISTRICT COURT E.D.N.Y.

★ JUN 15 2021 ★

LONG ISLAND OFFICE

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff, 21-mc-\_\_\_\_\_

v.

STEVEN SEAGAL,

Defendant.

**[PROPOSED] JUDGMENT CONVERTING THE  
COMMISSION'S ORDER TO A JUDGMENT**

Plaintiff Securities and Exchange Commission (the "Commission") having applied to this Court pursuant to Section 20(c) of the Securities Act of 1933 ("Securities Act"), 15 U.S.C. § 77t(c), to convert to a Judgment a Commission Order dated February 27, 2020, which among other things, directed Steven Seagal ("Seagal") to disgorge \$157,000, plus prejudgment interest of \$16,448.76, such prejudgment interest continuing to accrue on funds owed until they are paid, and to pay a civil money penalty in the amount of \$157,000 to the Commission, and it appearing that such application should be granted,

**IT IS HEREBY ORDERED, THAT:**

1. The Commission's application is GRANTED.
2. Pursuant to Section 20(c) of the Securities Act, 15 U.S.C. § 77t(c), Seagal shall comply with the Commission Order by paying to the Commission the outstanding balance on the Judgment and applicable interest pursuant to SEC Rule of Practice 600 and 31 U.S.C. § 3717 within 30 days.
3. Payment may be made electronically to the Commission, which will provide detailed ACH transfer/Fedwire instructions upon request made to Disgorgement -

Penalty@sec.gov. Payment may also be made directly from a bank account via Pay.gov through the SEC website at <https://www.sec.gov/paymentoptions>. Seagal may also pay by certified check, bank cashier's check, or United States postal money order, made payable to the Securities and Exchange Commission and setting forth the title and civil action number of this action and the name of this Court; and specifying that payment is made pursuant to this Judgment. The funds may be hand-delivered or mailed to:

Enterprise Services Center  
Accounts Receivable Branch  
HQ Bldg., Room 181, AMZ-341  
6500 South MacArthur Boulevard  
Oklahoma City, OK 73169

Payments must be accompanied by a cover letter identifying Seagal as the Defendant in this action, and the name of this Court and the docket number of this action. A copy of the cover letter and payment confirmation must be sent to Maureen Peyton King, Securities and Exchange Commission, New York Regional Office, 200 Vesey Street, Suite 400, New York, NY 10281.

4. By making such payment Seagal relinquishes all legal and equitable right, title and interest in such funds, and no portion of such funds shall be returned to Seagal. The Commission shall send funds received to the United States Treasury.

5. Seagal shall pay to the Commission post-judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961.

6. If Seagal does not pay the above amounts the Commission may enforce this Judgment through the remedies available by law to collect the unpaid balance.

7. To preserve the deterrent effect of the civil penalty, amounts ordered to be paid as civil penalties pursuant to this Judgment shall be treated as penalties paid to the government for all purposes, including all tax purposes.

8. The Court shall retain jurisdiction of this matter for the purposes of enforcing the

terms of this Judgment.

9. The Court may order such relief as may be necessary for enforcement of any order of this Court as to disgorgement and prejudgment interest through civil contempt and/or other collection procedures authorized by law.

Dated: \_\_\_\_\_, 2021  
Brooklyn, New York

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**UNITED STATES DISTRICT JUDGE**